

APPENDIX H
(PART OF THE DRAFT 2005-06 CONSOLIDATED GRANTS PROGRAM GUIDELINES.)

***CONCEPT PROPOSAL APPLICATION
AND EVALUATION CRITERIA***

Appendix H-1 Concept Proposal Application

Appendix H-2 Concept Proposal Evaluation Criteria

***THESE DRAFT GUIDELINES ARE AVAILABLE FOR PUBLIC COMMENT AND ALSO
UNDER MANAGEMENT AND LEGAL REVIEW.***

Comments must be received by 5:00 PM on Monday, December 5, 2005.
We prefer to receive comments via e-mail at: DFA_Grants@waterboards.ca.gov.

Comments may also be mailed to:
State Water Resources Control Board
Division of Financial Assistance
Attn: Erin Ragazzi (CG)
1001 I Street, 16th Floor
Sacramento, CA 95814

Public Workshops for the draft Guidelines will be held as follows:

- November 30, 2005 (San Diego)
- December 1, 2005 (Sacramento)

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The fields contained on this page are included in the Financial Assistance Application Submittal Tool (FAAST) for every Request for Proposal (RFP)/Proposal Solicitation Package (PSP) that is released online by the State Water Board's Division of Financial Assistance. Because the fields are shared by all programs, they are not customized for each specific grant program. The grant specific information is in the Concept Proposal Project Application, which is included as pages 4-9 of this document.

Questions Automatically Included Online in FAAST

General Details

- RFP Title, Project Title, Project Description (1,000 character limit), Applicant Name, Project Director

Project Budget

- Grant Funds Requested, Cost Matching Funds, Total Project Cost

Project Location

- Latitude & Longitude, Primary County, Primary Watershed, Primary Water Body, Primary Responsible Regional Water Board

Funding Source

- Applicant selects one or more checkboxes representing program(s) for the particular RFP/PSP

Legislative

- | | | |
|---|----------------|-------------------|
| <ul style="list-style-type: none">○ District | Primary | Additional |
| Assembly District | | |
| Senate District | | |
| US Congressional District | | |

Contact Agency

- Agency Name, Contact Name, Phone, Email

Cooperating Entity

- Role on Project, Contact Name, Phone, Email

DRAFT CONCEPT PROPOSAL PROJECT APPLICATION

This section contains the customized questions for the 2005-06 Consolidated Grants Program. Please note that there is a 1,000 character maximum limit (approximately a quarter of a page) for each question. Applicants are strongly encouraged to consult with Regional Water Board staff or partner agencies before completing this application, especially in providing a response to Question #1.

Program(s) Selection

1. Based on your project scope of work, project timeline, and the specific grant program eligibility requirements, indicate in which THREE program(s), you are interested in competing for funding? Only select eligible programs that fit your project timeline and in which you would like to compete for funding. **A project can only receive funds from one program.** (1 = the first program in which you would like to compete for funding; 2 = the second program in which you would like to compete for funding; etc.).

- | | |
|---|---|
| <input type="checkbox"/> Agricultural Water Quality Grant Program | <input type="checkbox"/> Integrated Watershed Management Program |
| <input type="checkbox"/> Coastal Non-Point Source Pollution Control Program | <input type="checkbox"/> Non-Point Source Pollution Control Program |
| <input type="checkbox"/> Non-Point Source Implementation Program (319(h)) | <input type="checkbox"/> Urban Stormwater Program |

Project Information

2. Describe the problem(s) the project is proposing to solve and the source(s) of the problem(s), if known.
3. Indicate the expected project benefits to water quality and beneficial uses.
4. Describe the approach the project is proposing to use to solve the problem(s) and the technical basis for the selected approach.
5. Identify any risks to water quality associated with the proposed approach described in Question 4.
6. Provide a list and brief description of all major project tasks and the associated schedule for completion of all major project tasks.

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7. Indicate major project activities and provide the estimated percentage of the scope of work (for the funds requested, plus match funds) that will fit into the following categories. (Only enter whole number percentages [i.e., 20 = 20%]. Percent total cannot exceed the value of 100.)

<input type="checkbox"/> Pollution Prevention & Outreach _____ %	<input type="checkbox"/> Pilot Study _____ %
<input type="checkbox"/> Management Practice Implementation _____ %	<input type="checkbox"/> Research & Development _____ %
<input type="checkbox"/> Assessment/Inventory _____ %	<input type="checkbox"/> Demonstration _____ %
<input type="checkbox"/> Monitoring _____ %	<input type="checkbox"/> Restoration: _____ %
<input type="checkbox"/> Development of Local Watershed Management Plan _____ %	<input type="checkbox"/> Other: _____ %

PERCENT TOTAL: _____ %

8. Indicate project type (select all that apply) and provide the estimated percentage that will be devoted to the corresponding project type. (Only enter percentages greater than 10% and enter whole number percentages [i.e., 20 = 20%]. Percent total cannot exceed the value of 100.) Note: The purpose of this question is to help identify which agencies should review the full proposal if the applicant is invited back.

<input type="checkbox"/> Drinking Water _____ %	<input type="checkbox"/> Coastal _____ %
<input type="checkbox"/> Fisheries Enhancement and/or Stream Restoration _____ %	<input type="checkbox"/> Wastewater Collection, Treatment, and Recycling _____ %
<input type="checkbox"/> Riparian and Wetland Habitat Restoration _____ %	<input type="checkbox"/> Urban Runoff and Stormwater Quality _____ %
<input type="checkbox"/> Flood Control/Water Supply _____ %	<input type="checkbox"/> Pesticides _____ %
<input type="checkbox"/> Groundwater _____ %	<input type="checkbox"/> Agriculture _____ %
<input type="checkbox"/> Erosion and/or Sediment Control _____ %	<input type="checkbox"/> TMDL _____ %
<input type="checkbox"/> Other: _____ %	<input type="checkbox"/> Other: _____ %

PERCENT TOTAL: _____ %

Eligibility

9. Is this a planning or an implementation project? (Select one from the drop down box.)
10. List the applicant's type of organization (e.g. public agency, non-profit, educational institution, tribe, etc.). For each program ranked in Question #1, explain/describe how the applicant's organization type meets the eligible applicant criteria presented in the Guidelines.
11. For each program selected in Question #1, describe how the project meets the eligible project types identified in the Guidelines.

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12. If you are applying for the Integrated Watershed Management Program, is your project eligible for the Accelerated Selection Contracting Process as described in Section 30948 of the Public Resources Code and the guidelines? If you answered yes, explain in the box below.
13. Check the boxes below to indicate which of the priorities your proposed project will address? (Select all that apply: Regional Water Board Priority, Statewide Priority, Ocean Protection Council (OPC) Priority, or Partner Agency Priority.)
14. If your project addresses a Regional Water Board Priority, please reference the number of the primary priority (as identified in the Guidelines) and briefly describe how it addresses that priority in the box below. If it addresses multiple Regional Water Board Priorities, please indicate the other priority(ies), by number, and explain in the box below.
15. If your project addresses a Statewide Priority, please reference the number of the primary priority (as identified in the Guidelines) and briefly describe how it addresses that priority in the box below. If it addresses multiple Statewide Priorities, please indicate the other priority(ies), by number, and explain in the box below.
16. If your project addresses an Ocean Protection Council Priority, please reference the number of the primary priority (as identified in the Guidelines) and briefly describe how it addresses that priority in the box below. If it addresses multiple Ocean Protection Council Priorities, please indicate the other priority(ies), by number, and explain in the box below.
17. If your project addresses a Partner Agency Priority, please reference the number of the primary priority (as identified in the Guidelines) and briefly describe how it addresses that priority in the box below. If it addresses multiple Partner Agency Priorities, please indicate the other priority(ies), by number, and explain in the box below.

Geographic Location

18. Indicate the Calwater Watershed ID number for the watershed(s) that your project encompasses. A map of the Calwater Watersheds is located at: <http://cain.nbii.gov/calwater/index.html>.
19. Is the project located in an area of special biological significance (ASBS)? (Select yes or not from the drop down menu.) If yes, identify the ASBS in the box below and briefly describe how your project will benefit the ASBS.
20. In the general information section, you entered the primary watershed for your project. If your project encompasses multiple watersheds, list the name of each watershed. Use the Watershed Management Areas (WMA) identified in the applicable Regional Water Board's Watershed Management Initiative (WMI) chapter. Please see Appendix B of the Guidelines for website addresses for the WMI chapters.
21. For your primary watershed and each of the watersheds listed in response to Question 20, indicate if the watershed has an established watershed group. If an established watershed group(s) exists, provide the name of the group(s).

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22. For a project that encompasses multiple water bodies, list the name and portion/segment of each water body covered by the project.
23. For a project that extends beyond more than one Regional Water Board boundary, select the corresponding checkboxes for the Regional Water Boards your project spans.

Project Performance/Evaluation

- 24A. If your project implements an adopted total maximum daily load (TMDL) or a TMDL under development, select one option from the drop down menu below (adopted TMDL or TMDL under development) and briefly describe: (1) the TMDL; (2) the anticipated pollutant load reductions that will be achieved; and (3) how your project is consistent with the identified TMDL.

OR

- 24B. If your project does not implement an adopted TMDL or a TMDL under development, briefly describe the anticipated pollutant load reductions or measurable water quality benefits that will be achieved from implementation of your project.
25. How do you propose to measure and document your project's benefits to water quality and beneficial uses (e.g., before and after concentrations of a constituent, miles of river restored, percent load reduction, number of people educated, data that conforms to the Surface Water Ambient Monitoring Program template and Quality Assurance Project Plan, increase amount of water banked or recharged, acres of open space protected or restored, amount of stormwater captured, etc.)?

Relationship to Existing Plans

26. Describe how the proposed project furthers a comprehensive watershed approach.
27. Is the proposed project consistent with a completed watershed assessment or an adopted plan?
28. Identify the watershed assessment or the name of the adopted plan and describe with specific examples, how your project implements the plan, and whether your project has been identified as a priority in the plan.
29. If a plan has not been adopted or the specific project is not identified in the plan, indicate when the plan is scheduled for adoption. If no plan is scheduled, explain why.

Readiness to Proceed

30. Is this project being undertaken pursuant to a National Pollutant Discharge Elimination System (NPDES) permit, TMDL, or other regulatory requirement or action (e.g. 401 certification)? Select yes/no from the drop down menu and describe in the box below.

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31. What type of California Environmental Quality Act (CEQA) document will be prepared for this project? (Select from drop down menu below.) What is the status of the CEQA document, if applicable?
32. Will the project require state or federal permits (e.g., 401 certification, 404 permit, or Department of Fish and Game [DFG] Streambed Alteration Agreement)? What is the status of the permit application(s), if applicable?
33. Does this project satisfy, in part or in full, the requirements of any state or regional board regulation, permit, or order? If so, please explain which ones in the box below.
34. Describe the anticipated source and amount of proposed matching funds for the project.
35. What is the availability of the funds or are they already secured for the project? (Note: Indicating the availability of matching funds that later becomes unavailable will be considered a deviation from the proposed project and may result in the grant being withdrawn. There may be a determination of non-eligibility if matching funds are a requirement.)
36. Has the project described in this concept proposal been funded previously by other grants? If so, explain.
37. Have you applied for other funds from another program for this specific project? (This includes programs not administered by the State Water Board.)
38. Please enter the estimated “Start Date” and “End Date” for the proposed project in mm/dd/yyyy format. For the “End Date” provide the submittal date(s) of the final report and final invoice. (The draft report and final report are typically due 2 months and 1 month prior to the work completion date, respectively.)
39. Is project planning and design complete?
40. Do you have a project team on board with the necessary expertise to carry out the project? Select yes/no from the drop down menu and briefly discuss your response in the box below.

Applicant Information

41. Identify and briefly discuss similar projects that the Applicant and Cooperating Entity have completed successfully.
42. Has the Applicant or any of the Cooperating Entities previously received funds from a solicitation administered by the State Water Board or Regional Water Boards? (Please select Yes/No from the drop down menu.) If you answered yes, please indicate project titles, contract or agreement numbers, and status of funding (e.g., contract or agreement in negotiation, ongoing, closed out, terminated, etc.). (Only include projects funded since January 2000.)
43. Has the Applicant or any Cooperating Entities entered into a contract or grant agreement that was: (1) terminated; (2) in which funds were withheld by the State Water Board; or (3) that has

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been the subject of an audit in which there were findings regarding the management of the project or funds by the Applicant or a Cooperating Entity? If so, please explain in the box below, including actions taken to address the problem(s).

44. Is the Applicant a party to current or pending litigation concerning any State Water Board or Regional Water Board regulation, permit, or order, which is reasonably related to the purpose of the proposed project? If so, please explain in the box below (include the name and case number in your explanation).
45. ☐ _____ (Initials) Disclaimer: The Project Director has read and understands the General Terms and Conditions of the Grant Agreement. If the Project Director does not agree with the terms and conditions, the applicant may be denied a grant award. (All applicants will be required to check the box and initial next to the statement.)

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APPENDIX H – 2: CONCEPT PROPOSAL EVALUATION CRITERIA

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ELIGIBILITY CRITERIA	YES / NO	KEY
General Financial Assistance Application Submittal Tool (FAAST) Information 1. Does the Concept Proposal contain all the required information requested automatically in the Financial Assistance Application Submittal Tool (FAAST)? <i>(e.g., General Details, Project Budget, Project Location, Funding Source, Legislative Information, Contact Agency Information and Cooperating Entity Information, etc.)</i>		Applicant must receive “Yes” for ALL questions to be eligible for invite back. Yes = Applicant eligible to be invited back to submit full proposal
Eligibility 2. Is the applicant’s type of organization eligible for the funding sources selected in Question 1 of the Concept Proposal based on the Guidelines? (Questions 1 and 10)		No = Applicant is not eligible to be invited back to submit full proposal
3. Is the project an eligible project type for at least one of the funding sources selected in Question 1 of the Concept Proposal? (Questions 1 and 11)		
4. Is the applicant eligible for at least one of the funding sources selected in Question 1 of the Concept Proposal based on the priorities the project will address? (Questions 1, and 13 through 17)		
Readiness to Proceed 5. Does the project’s “Start Date” and “End Date” fall within the appropriations for the funding sources selected in Question 1 of the Concept Proposal? (Questions 1 and 38)		
Applicant Information 6. Has the applicant checked the box and initialed that the Project Director has read and understands the General Terms and Conditions of the Grant Agreement? (Question 45)		
OVERALL EVALUATION 7. Is the proposal eligible?		Yes = Applicant is eligible. Concept Proposal should be scored. No = Applicant is <u>not</u> eligible. Concept Proposal should <u>not</u> be scored.
8. If the proposal is eligible, please list the agencies that should review and score the Concept Proposal.		Region 1, Region 2, Region 3, Region 4, Region 5, Region 6, Region 7, Region 8, Region 9, USEPA, Resources Agency, Coastal Commission, Coastal Conservancy

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<p style="text-align: center;">DRAFT 2005-06 CONSOLIDATED GRANTS CONCEPT PROPOSAL EVALUATION: SCORING CRITERIA</p>		
SCORED CRITERIA	SCORE	POINTS POSSIBLE¹
1. How well does the project address the indicated priority(ies)? (Questions 13 through 17)		0 - 4
2. Does the project address multiple priorities? (Questions 13 through 17)		1 Point for each priority the project addresses above the required base (max of 5 pts.)
3. Is the description of the major project tasks reasonable? (Question 6)		0 - 4
4. Is the project timeline realistic? (Questions 6 and 37)		0 - 4
5. How well does the applicant define the problem(s) the project is proposing to solve? (Question 2)		0 - 4
6. Does the approach appear to be technically feasible? (Question 4)		0 - 4
7. Is the approach likely to yield the expected benefits and how do the expected benefits compare to the risks? (Questions 3 and 5)		0 - 4
8. Does the project implement an adopted total maximum daily load (TMDL), which is specifically mentioned in an implementation plan? (Question 24A)		1 - 2 Points if the project implements an adopted TMDL
9. Does the project implement a TMDL under development? Is the timeline specified and how well does the timeline fit the applicable grant program timeframe? (Question 24A)		1 Point if the project implements a TMDL under development
10. Does the project benefit an area of special biological significance (ASBS)? (Question 19)		1 - 2 Points if the project benefits an ASBS
11. How well are the project's anticipated pollutant load reductions defined in the Concept Proposal? (Question 24A and 24B)		0 - 4
12. How well will the proposed approach allow the applicant to quantify and document the project's benefits to water quality and beneficial uses? (Question 25)		0 - 4
13. How well is the proposed project integrated/identified in the watershed planning efforts? (Questions 26 through 29)		0 - 4
14. How well prepared is the applicant for the permits and regulatory requirements that may be necessary for the project? (Questions 30 through 32)		0 - 4
15. How well does the applicant address their readiness to proceed? (Questions 34, 35, 38, and 39)		0 - 4

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SCORED CRITERIA	SCORE	POINTS POSSIBLE ¹
16. Does the applicant have a good track record? If not, are the proposed actions taken to address the problem(s) sufficient? (Questions 41-44)		0 pts if Negative 2 pts if Neutral 5 pts if Good
OVERALL EVALUATION 17. What is the score of this Concept Proposal?		59
18. Should the applicant be invited back to submit a Full Proposal?		Yes = No=
19. If the applicant is invited back, for which program(s) should the applicant be invited back to submit a Full Proposal? 1st Choice: Back-Up:	AWQGP CNPS IWMP NPS Implementation Program (319 (h)) NPS USWP	
20. Which review team should be assigned to review the full proposal?	Drinking Water = DHS, RB, SB Erosion and/or Sediment Control = RB, SB Fisheries Enhancement and/or Stream Restoration = DFG, CC, RB, SB Flood Control/Water Supply = DWR, Bureau of Reclamation, RB, SB Groundwater = DWR, RB, SB Agriculture = CDA, RB, SB Riparian & Wetland Habitat Restoration = CC, DFG, RB, SB Coastal = CC, CC, RB, SB, OPC Wastewater Collection, Treatment and Recycling = RB, SB Urban Runoff and Storm Water Quality = US EPA, RB, SB) Pesticides = DPR, CDFA, RB, SB TMDL = US EPA Other = Please explain	
21. If this applicant is invited to submit a full proposal, discuss suggestions on how to improve the proposal/project. (Note to Reviewers: This text will be provided to the applicant. Be clear and concise.)		

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¹ Unless otherwise noted, each criterion will be scored on a scale of 0 to 4 with a 0 being “low” and a 4 being “high,” with points assigned to the Concept Proposal for each criterion as follows:

- A score of 4 points will be awarded where the criterion is fully addressed and supported by logical rationale.
- A score of 3 points will be awarded where the criterion is fully addressed but is marginally supported by logical rationale.
- A score of 2 points will be awarded where the criterion is marginally addressed and is marginally supported by logical rationale.
- A score of 1 point will be awarded where the criterion is marginally addressed and is not supported by logical rationale.
- A score of 0 point will be awarded where the applicant is not responsive (i.e., the criterion is not addressed and no rationale is presented).